

PATENT  
Docket No. 10392/46001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : Steven M.H. WALLMAN  
Serial No. : 09/038,158  
Filed : 11 March 1998  
For : METHOD AND APPARATUS FOR ENABLING  
SMALLER INVESTORS OR OTHERS TO CREATE  
AND MANAGE A PORTFOLIO OF SECURITIES OR  
OTHER ASSETS OR LIABILITIES ON A COST-  
EFFECTIVE BASIS  
Group Art Unit : 2773  
  
ASSISTANT COMMISSIONER  
FOR PATENTS  
Washington, DC 20231

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97 & § 1.98**

SIR:

In accordance with Applicants' duty of disclosure under 37 C.F.R. § 1.56(a) and § 1.97(b) (3), the references listed on the attached form PTO-1449 are hereby brought to the Examiner's attention.

Since all the references are in the English language, no statement of relevancy is required. A copy of each cited reference is also enclosed.

It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear in the "references cited" on any patent to issue therefrom.

Respectfully submitted,

KENYON & KENYON

  
Michael N. Haynes  
Registration No. 40,014

Date: June 9, 2000

KENYON & KENYON  
1500 K Street, N.W., Suite 700  
Washington, D.C. 20005-1257  
(202) 220-4247 (202) 220-4201 (fax)

LAW OFFICES OF  
**KENYON & KENYON**  
1500 K STREET, N.W., SUITE 700  
WASHINGTON, DC, 20005-1257  
202-220-4200  
FAX: 202-220-4201

**FACSIMILE COVER SHEET**

**TO:** *Exxon J. M. Calve*

**FAX:** *703-308-7769*

**PHONE:** *703-308-1881*

**FROM:** Michael N. Haynes

**FAX:** 202-220-4201

**PHONE:** 202-220-4247

**NUMBER OF PAGES INCLUDING COVER:** *6*

**DATE:** *3 Jan 2001*

**SUBJECT:** *Copy of 105*

**MESSAGE:** *Please*

Please call (202) 220-4297 if any pages were not received or are illegible. Thank you.

The information contained in this facsimile message is privileged and confidential information from an attorney intended only for the use of the individual or entity named above. If the reader of this message is not the intended recipient, or the employee or agent responsible to deliver it to the intended recipient, you are hereby notified that any dissemination, distribution, or copying of this communication is strictly prohibited. If you have received this communication in error, please immediately notify us by telephone, and return the original message to us at the above address via the U.S. Postal Service.

The stamp of the Patent Office may be taken as acknowledging the receipt, on  
the date stamped, of

INVENTOR(S): Steven M. H. WALLMAN

SERIAL NO.: 09/038,158

FILED: March 11, 1998

TITLE: METHOD AND APPARATUS FOR ENABLING SMALLER  
INVESTORS OR OTHERS TO CREATE AND MANAGE A  
PORTFOLIO OF SECURITIES OR OTHER ASSETS OR LIABILITIES  
ON A COST-EFFECTIVE BASIS

PAPERS FILED:

1. INFORMATION DISCLOSURE STATEMENT;  
PTO FORM 1449 (64 REFERENCES).



Michael Haynes/JI

10392/46001

June 9, 2000